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Please type a plus sign (+) inside this box <input type="checkbox"/>		PTO/SB/05 (03-01)
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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>		<b>Attorney Docket No.</b> GEN-100D1
		<b>First Inventor</b> Lydie Bougueleret
<b>Title</b>	HUMAN DEFENSIN POLYPEPTIDE DEF-X, GENOMIC DNA AND cDNA, COMPOSITION CONTAINING THEM AND APPLICATIONS TO DIAGNOSIS AND TO THERAPEUTIC TREATMENT	
<b>Express Mail Label No.</b>		ET535904243US

<b>APPLICATION ELEMENTS</b> <small>See MPEP chapter 600 concerning utility patent application contents</small>		<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
1. <input checked="" type="checkbox"/> <b>Fee Transmittal Form</b> (e.g. PTO/SB/17) <small>(Submit an original and a duplicate for fee processing)</small>		7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program <i>(Appendix)</i>	
2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i>	
3. <input checked="" type="checkbox"/> <b>Specification</b> [Total Pages <u>41</u> ] <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed Sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings <i>(if filed)</i></li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul>		a. <input checked="" type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: <ul style="list-style-type: none"><li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li><li>ii. <input checked="" type="checkbox"/> paper</li></ul>	
4. <input checked="" type="checkbox"/> <b>Drawing(s)</b> (35 U.S.C. 113) [Total Sheets <u>16</u> ]		<b>ACCOMPANYING APPLICATION PARTS</b>	
5. <input checked="" type="checkbox"/> <b>Oath or Declaration</b> [Total Pages <u>2</u> ] <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Newly executed (original or copy)</li><li>b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i><ul style="list-style-type: none"><li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> <small>Signed statement attached deleting inventor(s) named in the prior application, 37 CFR 1.63(d)(2) and 1.33(b)</small></li></ul></li></ul>		9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
6. <input checked="" type="checkbox"/> <b>Application Data Sheet.</b> See 37 CFR 1.76		10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <small><i>(when there is an assignee)</i></small>	
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76		11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>	
<input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-Part (CIP)		12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations	
Prior application information Examiner <u>J Roark</u> Group Art Unit <u>1644</u>		13. <input type="checkbox"/> Preliminary Amendment	
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.		14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small><i>(Should be specifically itemized)</i></small>	
<b>19. CORRESPONDENCE ADDRESS</b>		15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small><i>(if foreign priority is claimed)</i></small>	
<input checked="" type="checkbox"/> Customer Number or Bar Code Label <u>23557</u> or <input type="checkbox"/> Correspondence address below		16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	
Name		17. <input checked="" type="checkbox"/> Other <u>Cert. Of Express Mailing; Revoc./New</u> POA	
Address			
City		State	
Country		Zip Code	
		Telephone	
		Fax	
<b>Name (Print/Type)</b> Frank C. Eisenschenk, Ph.D.		<b>Registration No. (Attorney/Agent)</b> 45,332	
<b>Signature</b> <u>Frank C Eisenschenk</u>		<b>Date</b> October 18, 2001	

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ 928.00)

## Complete if Known

Application Number  
Filing Date October 18, 2001  
First Named Inventor Lydie Bougueleret et al.  
Group Art Unit  
Examiner Name  
Attorney Docket No GEN-100D1

### METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number 19-0065

Deposit Account Name Saliwanchik, Lloyd & Saliwanchik

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status See 37 CFR 1.27

2. ☐ Payment Enclosed:  
☐ Check ☐ Credit Card ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	FEE PAID
101	740	201	370	Utility filing fee	370
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$ 370.00)

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from Below	Fee Paid
40	-20** = 20	9	180
Independent Claims	12	-3** = 9	378
Multiple Dependent			

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3 Multiple dependent claim, if not paid
104	280	204	140	**Reissue independent claims over original patent
109	84	209	42	**Reissue claims in excess of 20 and over original patent
110	18	210	9	

SUBTOTAL (2) (\$ 558.00)

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	FEE PAID
105	130	205	65	Surcharge-late filing fee or oath	
127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first Month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing for a brief support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive-unavoidable	
141	1,280	241	640	Petition to revive-unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR §1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR §1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00)

### SUBMITTED BY

Name (Print/Type) Frank C. Eisenschenk, Ph.D. Registration No (Attorney/Agent) 45,332 Telephone 352-375-8100  
Signature *Frank C Eisenschenk* Date October 18, 2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231

October 18, 2001

Utility Patent Application  
Docket No. GEN-100D1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Lydie Bougueleret & Iyla Chumakov  
Docket No. : GEN-100D1  
For : Human Defensin Polypeptide Def-X, Gene DNA and cDNA,  
Composition Containing Them and Applications to Diagnosis and to  
Therapeutic Treatment

Assistant Commissioner for Patents  
Washington, D.C. 20231

SUBMISSION OF SEQUENCE LISTING  
AND STATEMENT UNDER 1.821

Sir:

Transmitted herewith is an application containing a sequence listing under 37 C.F.R.  
§§ 1.821 through 1.825.

The sequence is submitted in computer readable format and on paper. I hereby certify that  
the paper and computer readable copies contain the same information.

Respectfully submitted,



Frank C. Eisenschenk, Ph.D.

Patent Attorney

Registration No. 45,332

Telephone No.: (352) 375-8100

Facsimile No.: (352) 372-5800

Address : Saliwanchik, Lloyd & Saliwanchik  
A Professional Association  
2431 N.W. 41st Street, Suite A-1  
Gainesville, FL 32606-6669

FCE/jaj

Attachments: Application containing sequence listing on paper  
Computer readable format containing the same information

10045180 101801

I hereby certify that this correspondence is being deposited  
with the United States Postal Service as First Class Mail in  
an envelope addressed to the Assistant Commissioner for Patents,  
Washington, D.C. 20231 on the date shown below:

December 28, 2000

COMMUNICATION  
Patent Application  
Docket No. GEN-100  
Serial No. 09/486,580



Frank C. Eisenschenk, Ph.D., Patent Attorney

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Examiner : Jessica H. Roark  
Art Unit : 1644  
Applicant(s) : Lydie Bougueleret and Ilya Chumakov  
Serial No. : 09/486,580  
Filed : February 25, 2000  
For : HUMAN DEFENSIN DEF-X, GENE AND DNAC, COMPOSITION  
CONTAINING SAME AND DIAGNOSTIC AND THERAPEUTIC  
APPLICATIONS

Assistant Commissioner for Patents  
Washington, D.C. 20231

COMMUNICATION

Sir:

Attached hereto please find an original Revocation of Power of Attorney and New Power of  
Attorney executed on December 19, 2000, and a copy of the corresponding Assignment dated  
January 27, 2000, that was submitted for recordation on or about February 25, 2000, in the  
application identified above.

Respectfully submitted,



Frank C. Eisenschenk, Ph.D.

Patent Attorney

Registration No. 45,332

Phone No.: 352-375-8100

Fax No.: 352-372-5800

Address: Saliwanchik, Lloyd & Saliwanchik  
A Professional Association  
2421 NW 41<sup>st</sup> Street, Suite A-1  
Gainesville, FL 32606-6669

FCE/jaj

Attachment: Revocation of Power of Attorney and New Power of Attorney  
Copy of Assignment with Recordation Cover Sheet

## CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Genset certifies that it is the owner of the entire right, title, and interest in the patent application identified above by virtue of an assignment to Genset dated January 27, 2000 by assignors Lydie Bougueleret, and Ilya Chumakov.

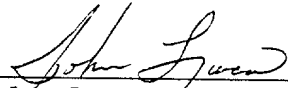
The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

GENSET

By:



John Lucas, Ph.D., J.D.

Director, Intellectual Property

Date

19 Dec 00

Utility Patent Application  
Docket No. GEN-100D1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No. : GEN-100D1  
Applicant(s) : Lydie Bougueleret and Ilya Chumakov  
For : HUMAN DEFENSIN POLYPEPTIDE DEF-X, GENOMIC DNA AND  
cDNA, COMPOSITION CONTAINING THEM AND APPLICATIONS TO  
DIAGNOSIS AND TO THERAPEUTIC TREATMENT

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

CERTIFICATE OF MAILING BY EXPRESS MAIL (37 CFR 1.10)

Express Mail No. ET 535904243 US Date of Deposit: October 18, 2001  
ET535904243US

I hereby certify that the items listed on the attached Utility Patent Application Transmittal form, with copies as required for authorization for use of Deposit Account No. 19-0065, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and are addressed to: Box PATENT APPLICATION, Assistant Commissioner for Patents, Washington, D.C. 20231.

Brooke Bockemuehl  
Name of person mailing paper

Brooke Bockemuehl  
Signature